 <b>Independent Verification &amp; Validation Facility</b>	<b>Contracting Officer Technical Representative (COTR) Procedure</b>	<b>IVV 08 Revision: E Effective Date: July 26, 2005</b>
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APPROVAL SIGNATURES		DATE
Greg Blaney (original signature on file)	Management System Representative	07/20/2005


REVISION HISTORY			
Rev. No.	Description of Change	Author	Effective Date
Basic	Initial Release	Steven Raque	12/24/2002
A	Added reference to Budget reviews, Senior lead duties in response to CAR 2003-C-159	Raju Raymond	09/18/2003
B	Updated procedure to reference the CIM Tool as the repository for all required correspondence and documentation for Research contracts.	Wes Deadrick	01/14/2004
C	Updated procedure to reference the TOMS program as the repository of Task Orders for some contracts. Change wording from Business Manager to Resource Manager. Deleted last sentence in Section 6.1.	Richard Grigg	03/27/2004
D	Updated procedure to include Alternate COTR in Sections 1, 2, 3 and 8. Clarification that known future deliverables are required in the COTR matrix in Section 6.4. Update NASA form 1634 title in Document Reference table and Section 8.0. Update section 6.2 that RM is to be notified when 533Ms are rejected or delayed. Move general services task reference to section 6.1 from 6.2, indicate that the general services task order is not always in	Richard Grigg	03/08/2005

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 <b>Independent Verification &amp; Validation Facility</b>	<b>Contracting Officer Technical Representative (COTR) Procedure</b>	<b>IVV 08 Revision: E Effective Date: July 26, 2005</b>
--	--	---

	place, and remove reference to managing general services work. Add IVV 09-8 in Reference Documents Table and Section 2. List TOMS as Location for Task Order Records in Section 8.		
E	Address new IV&V organization by replacing Senior Lead terminology with Deputy IV&V Services Lead. Eliminate COTR responsibility to keep contract mod and task order copies in section 6.1 since onsite CO and TOMS now fulfill that requirement. Add PM Tool as possible deliverable matrix location in section 6.4. Reword last paragraph in 6.5 for readability. Add QM reference for role definitions.	Richard Grigg	07/26/2005

REFERENCE DOCUMENTS	
Document Number	Document Title
IVV QM	Quality Manual
IVV 07	Financial Data Control
IVV 09-3	Research Program
IVV 09-4	Project Management
IVV 09-8	Project Startup
IVV 16	Control of Quality Records
	Federal Acquisition Regulations (FAR) ( <a href="http://www.arnet.gov/far">http://www.arnet.gov/far</a> )
	NASA FAR Supplement (NFS) ( <a href="http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm">http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm</a> )
NASA Form 1634	Contracting Officer Technical Representative (COTR) / Alternate COTR Delegation

 <b>Independent Verification &amp; Validation Facility</b>	<b>Contracting Officer Technical Representative (COTR) Procedure</b>	<b>IVV 08 Revision: E Effective Date: July 26, 2005</b>
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## **1.0 Purpose**

The purpose of this System Level Procedure (SLP) is to establish a consistent and documented method for performing technical contract management. This SLP also provides a consolidated description of the roles and duties of the Contracting Officer Technical Representative (COTR) and Alternate COTR.

## **2.0 Scope**

This SLP is applicable to all COTRs and Alternate COTRs at the NASA IV&V Facility. Refer to IVV 09-3, Research Program, for technically managing research contracts. Refer to IVV 09-4, Project Management, for IV&V activities. Refer to IVV 09-8, Project Startup, for project startup activities.

## **3.0 Definitions & Acronyms**

### **3.1 Alternate COTR**


An Alternate COTR is an appropriately trained NASA IV&V Facility civil service employee nominated by Facility Management and delegated by the Contracting Officer (CO), who performs technical management of a contract in accordance with Federal Acquisition Regulations (FAR) and NASA FAR Supplement (NFS) guidelines. Wherever COTR duties and responsibilities are mentioned in this SLP, it shall be construed to mean that the Alternate COTR will acquire those duties and responsibilities during short absences of the COTR. Absences of the COTR shall be indicated by a notification from the COTR, or by notification of any type of leave taken by the COTR.

### **3.2 Center Initiative Management (CIM) Tool**

The CIM Tool is a web-based data repository used by COTRs of Research contracts to manage initiative work products including proposals, deliverables and status reports.

### **3.3 Contracting Officer (CO)**

A CO is a NASA civil service employee with authority to enter into, administer, and/or terminate contracts, and to make related determinations and findings (see FAR 2.101).

 <b>Independent Verification &amp; Validation Facility</b>	<b>Contracting Officer Technical Representative (COTR) Procedure</b>	<b>IVV 08 Revision: E Effective Date: July 26, 2005</b>
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### **3.4 Contracting Officer Technical Representative (COTR)**

A COTR is an appropriately trained NASA IV&V Facility civil service employee nominated by Facility Management, and delegated by the CO, who performs technical management of a contract in accordance with FAR and NFS guidelines.

### **3.5 Deputy IV&V Services Lead**

The Deputy IV&V Services Lead is a NASA IV&V Facility civil service employee appointed by the IV&V Services Lead to act as the NASA IV&V Facility's primary Point of Contact (POC) for his or her assigned area of responsibility (e.g., NASA Enterprise/Center). The Deputy IV&V Services Lead is responsible for ensuring consistent, effective, and efficient project management amongst the projects within the Deputy IV&V Services Lead's scope. The Deputy IV&V Services Lead will work with the Project Managers (PMs) assigned to those projects to help resolve technical and performance issues related to management of the project.

### **3.6 Project Management Tool (PM Tool):**

The PM Tool is a database tool used by PMs to capture IV&V project information, such as status, deliverables, and deliverable acceptability status.

### **3.7 Project Manager (PM)**

A PM is a NASA IV&V Facility civil service employee appointed by Facility Management who performs a project management function.

### **3.8 Resource Manager (RM)**


An RM is a NASA IV&V Facility civil service employee responsible for managing the NASA IV&V Facility's financial processes.

### **3.9 Task Order Management System (TOMS)**

TOMS is a web-based data repository of contracts, task orders and task order modifications hosted by a Goddard Space Flight Center (GSFC) server and used by PMs, the RM, some COTRs, contract specialists, vendors, and the CO.

### **3.10 Acronyms**

CAR	Corrective Action Request
CIM Tool	Center Initiative Management Tool
CO	Contracting Officer

 <b>Independent Verification &amp; Validation Facility</b>	<b>Contracting Officer Technical Representative (COTR) Procedure</b>	<b>IVV 08 Revision: E Effective Date: July 26, 2005</b>
--	--	---

COTR	Contracting Officer Technical Representative
FAR	Federal Acquisition Regulations
FRC	Federal Records Control
GSFC	Goddard Space Flight Center
NFS	NASA FAR Supplement
PM	Project Manager
POC	Point of Contact
QM	Quality Manual
RM	Resource Manager
SLP	System Level Procedure
TOMS	Task Order Management System

#### **4.0 Flow Chart**

A flow chart is not applicable to this SLP.

#### **5.0 Responsibilities**


Responsibilities are defined in Section 3.0, Definitions, and Acronyms, and in Section 6.0, Procedure, of this SLP.

#### **6.0 Procedure**

##### **6.1 Contract Administration**

The COTR has overall responsibility for the continuation of services and effective management of the contract vehicle. This includes, but is not limited to, mechanizing task order development, monitoring contract funding issues, informing the RM of any contract funding issues, working with the Deputy IV&V Services Lead and PMs on funding and tasking issues, managing the finances for general services task orders, and providing official COTR approval when required (i.e., contractor invoices, contractor in-processing, contract options, etc.). The COTR is also ultimately responsible for all items on the COTR Delegation Form signed by the CO.

The COTR shall perform contract administration in accordance with the COTR Delegation Form signed by the CO. Certain responsibilities are further delegated to the PMs as defined in IVV 09-4, Project Management, and contract surveillance plans. The COTR shall keep copies of correspondence related to the contract (either hard copy or electronically)

 <b>Independent Verification &amp; Validation Facility</b>	<b>Contracting Officer Technical Representative (COTR) Procedure</b>	<b>IVV 08 Revision: E Effective Date: July 26, 2005</b>
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in such a fashion that it can be passed on to any successor or Alternate COTR.

If a general services task order is in place, the COTR shall monitor the general services financial spreadsheet for his or her contract to ensure that all information on the spreadsheet is correct.

## **6.2 Contract Financial Management**

The COTR shall monitor contract-level funding and expenses as recorded in the NASA IV&V Facility financial spreadsheet (see IVV 07, Financial Data Control). The COTR shall make the RM aware of any funding issues or discrepancies, especially those that could affect continuation of services. This also includes notification of 533M delays, rejections or redeliveries.


The COTR shall participate in the monthly Financial Budget Review to analyze contracts' and projects' financial statuses (see IVV 07, Financial Data Control).

## **6.3 Task Order Mechanization**

The COTR shall facilitate the mechanization of task orders by working with the PM, the contractor, and the CO (or designee) to ensure that all required information is included. TOMS has been used for task order mechanization since November of 2003. If the COTR's contract is in TOMS, the COTR shall ensure that new task orders and their modifications shall be entered into TOMS. The COTR shall review the task order to ensure that the requirements are clear, the funding is correct and consistent with NASA IV&V Facility policy, and all required signatures are obtained. If not in TOMS or any other mechanized system, the COTR shall provide a copy of the task order to the appropriate PM once the CO has awarded task orders. Task order mechanization only applies to contracts incorporating the use of contract task orders.

## **6.4 Receipt and Filing of Contract Deliverables**

The COTR shall store an electronic version of all contract deliverables and a copy of the email message or cover letter used to deliver the deliverable in the designated area of a NASA IV&V Facility shared drive. The COTRs for research contracts shall store all required correspondence and documentation in the CIM Tool. The filing structure used shall be determined by the COTR, but information should be organized to facilitate

 <b>Independent Verification &amp; Validation Facility</b>	<b>Contracting Officer Technical Representative (COTR) Procedure</b>	<b>IVV 08 Revision: E Effective Date: July 26, 2005</b>
--	--	---

easy identification and retrieval. Where applicable, the monthly contract financial reports (533M) should be stored on the shared drive within one working day of delivery. All other contract deliverables should be stored on the shared drive or in the CIM Tool within ten working days of receipt.


The COTR of the contract shall maintain a list of all products delivered by the contractor, including when the product was delivered, and its acceptability status. This list shall also contain known future deliverables and their expected delivery dates. This list is commonly known as the Deliverables Matrix. The Deliverables Matrix shall be stored in electronic format in the designated area of a NASA IV&V Facility shared drive, the PM Tool, the CIM Tool, or a combination of these options. The Deliverables Matrix shall include or provide direct access to the title of the deliverable, the applicable project to which it is associated, the applicable PM responsible for evaluation, the original due date, the applicable revised due date, the delivered date, the acceptance or rejection date, the applicable redelivery date, and a space for comments.

## 6.5 Evaluation of Contract Deliverables

Every product required to be delivered to the NASA IV&V Facility by a contract or task order must be evaluated and the results recorded. Deliverables related to projects and the portions of contract level reports that contain IV&V project-specific sections (e.g. Monthly Progress Report, 533M, etc.) for which there is an assigned PM will be evaluated by that PM and reported to the COTR per IVV 09-4, Project Management. The COTR is responsible for evaluating all other deliverables, or parts of deliverables, on his or her designated contract. The evaluation of deliverables shall include, but is not limited to, ensuring that deliverables are on time, in the correct format, and contain valid content.

The evaluation of a deliverable shall be conducted within ten working days of delivery. If the product is deemed acceptable, it shall be so noted on the COTR's Deliverable Matrix (see section 6.4, Receipt and Filing of Contract Deliverables, of this SLP). If no corrective responses are provided to the contractor within the ten days, the product is automatically deemed acceptable and will be so noted in the COTR's Deliverable Matrix. If the product is deemed unacceptable and corrective responses are provided to the contractor by the COTR within the ten-day period, the contractor may reissue another product within a timeframe acceptable to the COTR and PM. If the contractor re-issues an acceptable product



 <b>Independent Verification &amp; Validation Facility</b>	<b>Contracting Officer Technical Representative (COTR) Procedure</b>	<b>IVV 08 Revision: E Effective Date: July 26, 2005</b>
--	--	---

within the acceptable timeframe, the product will be deemed acceptable and so noted in the COTR's Deliverable Matrix. If the contractor cannot produce an acceptable deliverable within the acceptable timeframe, the COTR will deem the deliverable unacceptable and so note the status on the COTR's Deliverable Matrix.

## 7.0 Metrics

Metrics are collected in accordance with the NASA IV&V Facility's Metrics Program.

## 8.0 Records

Document Name and Identification Number	User Responsible for Record Retention	Retention Requirement	Location
COTR Deliverable Matrix	COTR	Permanent – Retire to FRC when file is closed	Shared Network Drive, PM Tool, or CIM Tool for Research Contracts
Task Order	COTR	Permanent – Retire to FRC when file is closed	TOMS or COTR Files prior to TOMS implementation
Deliverable Received from Contractor	COTR	Permanent – Retire to FRC when file is closed	Shared Network Drive, PM Tool, or CIM Tool for Research Contracts
COTR / Alternate COTR Delegation (NASA Form 1634) signed by CO for COTR delegation	COTR	Permanent – Retire to FRC when file is closed	COTR Files
COTR / Alternate COTR Delegation (NASA Form 1634) signed by CO for alternate COTR delegation	Alternate COTR	Permanent – Retire to FRC when file is closed	Alternate COTR Files